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APPLICATION FOR LETTERS PATENT

**POLICY APPLICATION ACROSS
MULTIPLE NODES**

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POLICY APPLICATION ACROSS MULTIPLE NODES

RELATED APPLICATIONS

[0001] This patent application is related to co-owned U.S. Patent Application Serial No. _____ (Client/Attorney Docket Numbers MS306881.01/MS1-1853US), entitled "Invalid Policy Detection," and U.S. Patent Application Serial No. _____ (MS306888.01/MS1-1861US), entitled "Dynamic Protocol Construction," both of which are hereby incorporated by reference for all that they disclose.

TECHNICAL FIELD

[0002] The described subject matter relates to electronic computing, and more particularly to systems and methods for applying policy across multiple nodes.

BACKGROUND

[0003] Communication between various computing devices (e.g., personal computers, server computers, mobile devices) is increasingly commonplace in a number of network environments, such as, e.g., the Internet and corporate intranets to name only a few examples. Often, these computing devices are configured for communication in accordance with preferred or even required protocols.

1 Traditionally when a computing device attempts to engage in communication with
2 another computing device using an unrecognized protocol, an error message is sent
3 to the first device, and further communication typically cannot proceed.

4 [0004] As an illustration, a commercial web site may require a user's
5 computer to comply with a particular protocol or data format before the user is
6 granted access to the payment web pages. For example, the commercial website
7 may require that incoming messages be encoded according to a particular
8 encryption scheme for security purposes, or that incoming messages be formatted
9 using a particular compression scheme to facilitate efficient transaction processing.
10 If the user's computer is not equipped to abide by the specified protocol or data
11 format, the user's computer generally receives an error notification, such as a
12 "400" error code defined in the Hypertext Transport Protocol (HTTP). Typically,
13 such error notifications are not very informative or helpful for a user to remedy the
14 error, if possible, and continue communicating with the commercial website.
15

16 [0005] In addition, over time, as new protocols and data formatting
17 techniques emerge, not all computing devices will necessarily have adopted the
18 latest protocols and data formatting techniques. Thus, there will typically always
19 be some differences between the protocols and/or data formats used by some
20 computing devices and the protocols and/or data formats used by other computing
21 devices. However, although some computing devices may not be able to apply the
22 newest protocols or data formats, they typically can communicate using some other
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1 protocols or data formats. Unfortunately, a traditional computing device does not
2 typically have the ability to identify the different protocols and/or data formats
3 used by another computing device, and adapt, if possible, to the different protocols
4 and/or data formats.

5 [0006] Such communication problems can be exacerbated when one or more
6 computing devices are present in the path between two devices attempting to
7 communicate. In such a case, all of the computing devices may have particular
8 requirements that must be met by the other computing devices. Thus, any
9 mismatch in data protocol or format between adjacent computing devices in the
10 communication path can lead to a break-down in communication.
11

12 SUMMARY

14 [0007] Implementations are described and claimed herein to dynamically
15 construct a protocol to facilitate communication between nodes and across
16 multiple nodes. Implementations utilize policies associated with the nodes to
17 specify protocol properties of the nodes. A policy expression in a policy related to
18 a node can be selected by another node to construct a protocol between the two
19 nodes. A policy expression selection process can be applied to multiple nodes in a
20 communication path to construct a protocol across the multiple nodes.
21

23 [0008] In some implementations, articles of manufacture are provided as
24 computer program products. One implementation of a computer program product
25

1 provides a computer program storage medium readable by a computer system and
2 encoding a computer program for dynamic protocol construction across multiple
3 nodes. Another implementation of a computer program product may be provided in
4 a computer data signal embodied in a carrier wave by a computing system and
5 encoding the computer program for dynamic protocol construction across multiple
6 nodes.

7 [0009] The computer program product encodes a computer program for
8 executing on a computer system a computer process that retrieves an intermediate
9 node policy characterizing communication properties supported by an intermediate
10 node between a source node and a destination node in a communication path. The
11 process further includes forming a policy-compliant message in accordance with
12 the intermediate node policy, wherein the policy-compliant message includes a
13 request for a destination node policy characterizing communication properties
14 supported by the destination node.
15

16 [0010] In another implementation, a method includes retrieving an
17 intermediate node policy and a destination node policy, the intermediate node
18 policy characterizing communication properties supported by an intermediate node
19 and the destination node policy characterizing communication properties supported
20 by a destination node, the intermediate node being between a source node and the
21 destination node in a communication path. The method further includes applying
22 the intermediate node policy and the destination node policy to an underlying
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1 message in order of the destination node policy followed by the intermediate node
2 policy.

3 [0011] In yet another implementation, a system includes a source node
4 policy having protocol parameters related to a source node and a policy retriever
5 retrieving an intermediate node policy having protocol parameters related to and
6 intermediate node between the source node and a destination node in a
7 communication path. The system also includes a message generator generating a
8 request message in accordance with the intermediate node policy, the request
9 message including a request for a destination node policy having protocol
10 parameters related to the destination node.
11

12 13 **BRIEF DESCRIPTION OF THE DRAWINGS**

14 [0012] Fig. 1 illustrates an exemplary operating environment in which
15 dynamic protocol construction can be carried out;
16

17 [0013] Fig. 2 illustrates an exemplary policy including assertions that may
18 be used to construct a protocol for communication between two nodes;

19 [0014] Figs. 3-4 are flowcharts illustrating exemplary operations to
20 implement dynamic protocol construction;
21

22 [0015] Fig. 5 illustrates an exemplary operating environment having
23 multiple nodes in a communication path in which dynamic protocol construction
24 can be implemented;
25

1 [0016] Fig. 6 is a flowchart illustrating exemplary operations for
2 implementing dynamic protocol construction across multiple nodes in a
3 communication path; and

4 [0017] Fig. 7 is a schematic illustration of an exemplary computing device
5 that can be utilized to implement dynamic protocol construction.
6

7 DETAILED DESCRIPTION

8 Overview

9 [0018] Briefly, dynamic protocol construction may be implemented to
10 facilitate communication among multiple nodes. Because data communication
11 protocols and formats can change, communication among multiple nodes can be
12 seriously hampered by mismatches in the protocols and formats employed by any
13 of the nodes. The dynamic protocol construction scheme described herein allows a
14 node to generate a policy having statements (referred to as assertions) that
15 characterize properties of the node. The properties can relate to, for example,
16 capabilities and/or requirements of the node. Another node that attempts to
17 communicate with the first node can retrieve the policy and generate messages that
18 conform to the assertions given therein and thereby successfully communicate with
19 the node. When multiple nodes are present in a communication path, the policies
20 of all the nodes are retrieved and applied in particular orders for successful
21 communication across the entire communication path.
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Exemplary System

[0019] Fig. 1 illustrates an exemplary operating environment 100 in which dynamic protocol construction can be carried out. Two nodes, node A 102 and node B 104, communicate with each other via a network 106. Node A 102 and node B 104 may be arranged in any number of configurations. Typical configurations are a client/server configuration or a peer-to-peer configuration. The network 106 may include other intermediate nodes (not shown), through which data pass during communication between node A 102 and node B. As such, exemplary communication configurations include can 1 to N (i.e., single node to multiple node) and N to N (i.e., multiple node to multiple node) arrangements.

[0020] In general, a node is a processing location in a computer network. More particularly, in accordance with the various implementations described herein, a node is a process or device that is uniquely addressable via a network. By way of example, and not limitation, individually addressable computing devices, groups or clusters of computing devices that have a common addressable controller, addressable peripherals, such as addressable printers, and addressable switches and routers, as well as processes executing on such devices, are all examples of nodes.

[0021] The operating environment 100 supports many communication scenarios that are frequently carried out over a network. Exemplary scenarios

1 include, but are not limited to, node A 102 accessing a resource from node B 104,
2 or node A 102 providing a service to node B 104. For example, a user of node B
3 104 may access a commercial Web site at node A 102 to buy books from the Web
4 site.

5 [0022] In the exemplary operating environment 100, data communication
6 between node A 102 and node B 104 is carried out by exchanging messages
7 between node A 102 and node B 104. When in a message exchange, node A 102
8 and node B 104 are designed to receive and/or transmit messages according to
9 certain data formats and/or follow certain protocols. Node A 102 and node B 104
10 each have policies that may be used to express the data formats and protocols that
11 can or should be used during message exchange.
12

13 [0023] More generally, a policy is an informal abstraction expressing
14 properties of a node. In the implementation of Fig. 1, a policy expression includes
15 one or more policy assertions (also referred to as 'assertions'). An assertion
16 represents an individual preference, requirement, capability, or other property that
17 a node (e.g., Node A 102) may, or in some circumstances, must comply with in
18 order to communicate with another node (e.g., Node B 104).
19

20 [0024] For example, node A 102 includes an A input policy 108 and an A
21 output policy 110. The A input policy 108 expresses one or more assertions related
22 to messages that are received by, or input to, node A. The A output policy 110
23 expresses one or more assertions related to messages that are transmitted, or output
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1 by, node A. Similarly, node B 104 includes B input policy 112 and B output policy
2 114.

3 [0025] As shown in Fig. 1, the policies are illustrated as being implemented
4 in one or more documents; however, policies need not be stored in documents, but
5 rather, can be implemented in other forms, such as, stored in memory, dynamically
6 created or retrieved from another node, or otherwise. A policy may be expressed in
7 a markup language, such as, but not limited to, Hypertext Markup Language
8 (HTML) and Extensible Markup Language (XML). In addition, an input policy
9 and an output policy may be combined into a single policy.
10

11 [0026] To further illustrate the concept of a policy, a policy can specify
12 message encoding formats, security algorithms, tokens, transport addresses,
13 transaction semantics, routing requirements, and other properties related to
14 message transmission or reception. Implementations of policies described herein
15 specify one or more assertions, which can aid two or more nodes in a message
16 exchange in determining if their requirements and capabilities are compatible. The
17 assertions may be grouped and related to each other in some way. A group of one
18 or more assertions may be referred to as a policy expression.
19

20 [0027] Accordingly, A input policy 108 includes a number of groups of
21 input assertions, including a first policy expression 116 and a second policy
22 expression 118. Similarly, A output policy 110 includes a number of groups of
23 output assertions, including a first policy expression 120 and a second policy
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1 expression 122. Likewise, B input policy 112 includes a number of groups of
2 input assertions, including a first policy expression 124 and a second policy
3 expression 126; and B output policy 114 includes a number of groups of output
4 assertions, including a first policy expression 128 and a second policy expression
5 130.

6 [0028] Expression (1) shown below illustrates how the assertions in A input
7 policy 108 can be related in a Boolean manner:

8
$$(1) \text{ } AInputPolicy: (A1 \otimes A2 \otimes A3) \oplus (A4 \otimes A5 \otimes A6) \dots$$

9

10 [0029] Expression (1) indicates that in order to comply with the A input
11 policy 108, a node attempting to send a message to node A can satisfy either
12 assertion A1, assertion A2, and assertion A3 together, or assertion A4, assertion
13 A5, and assertion A6 together, but typically not both groups of assertions. The
14 manner in which a node, such as node B 104, may use the A input policy 108 to
15 communicate with node A 102 is discussed further below. Other, non-Boolean,
16 expressions can be used to express relationships among assertions.
17

18 [0030] The number of assertions shown in policy expressions 116, 118, 120,
19 122, 124, 126, 128, and 130 is purely exemplary for illustrative purposes only. The
20 numbers assigned to the assertions shown in Fig. 1 (e.g., A1, A2, ..., B13) are not
21 intended to imply that the various assertions shown are different or the same.
22 Indeed, frequently during operation, some assertions at node A 102 will match
23 some assertions of node B 104, and some assertions at node A 102 will be different
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1 from some assertions at node B 104. A particular example of assertions is shown
2 in Fig. 2, and is discussed further below.

3 [0031] Node A 102 includes a policy generator 132, a policy retriever 134,
4 and a message generator 136. The policy generator 132 generates the A input
5 policy 108 and the A output policy 110. The policy generator 132 can send either
6 or both of the A input policy 108 and/or the A output policy 110 to node B 104 or
7 other intermediate nodes in the network 106. One particular implementation of the
8 policy generator 132 advertises the A input policy 108 and/or the A output policy
9 110, for example, by making A input policy 108 and/or the A output policy 110
10 publicly available either on node A 102 or some other node on the network 106.
11

12 [0032] The policy retriever 134 retrieves policies from other nodes, such as
13 node B 104 or intermediate nodes on the network 106. The policy retriever 134
14 can request a policy from another node, receive the policy, and may cache a
15 received policy in memory for later use. The policy retriever 134 can also retrieve
16 a policy that was previously stored in local memory on node A 102. The policy
17 retriever 134 also performs functions related to determining whether a retrieved
18 policy is compatible with a local policy and/or selecting a compatible policy
19 expression in a retrieved policy.
20

21 [0033] The message generator 136 at node A 102 generates messages that
22 conform to one or more assertions in the B input policy 112 of node B 104. For
23 example, the message generator 136 may encrypt, format, or encode a message as
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1 specified by input assertions in the B input policy 112. As another example, the
2 message generator 136 may transmit the message according to a compliant
3 protocol (e.g., SOAP 1.1) specified in the B input policy 112. As yet another
4 example, the message generator 136 may apply a user signature or password to the
5 message in accordance with the B input policy 112. The output of the message
6 generator 136 is a policy-compliant message complying with the B input policy
7 112.

8 [0034] Similarly, node B 104 includes a policy generator 138, a policy
9 retriever 140, and a message generator 142. The policy generator 138 has
10 functionality similar to that of the policy generator 132 in node A 102. Thus, if
11 node A's 102 policy retriever 134 requests a policy from node B 104, node B's 104
12 policy generator 138 can responsively transmit one or more of the B input policy
13 114 and the B output policy 116 to the policy retriever 134 at node A 102.

14 [0035] The policy retriever 140 at node B 104 has functionality similar to
15 the functionality described above with respect to policy retriever 134 at node A
16 102. The message generator 142 at node B 104 formats and transmits messages to
17 node A 102 in accordance with one or more assertions in the input policy 108 of
18 node A 102.

19 [0036] Node A 102 can retrieve and use a policy of node B 104 to construct
20 a protocol with which to communicate to node B 104, and vice versa. This may
21 involve a selection process where a node selects one group of assertions from the
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1 policy of the other node. For example, node B 104 retrieves (via the retriever 138)
2 and analyzes the A input policy 108 to determine if node B can comply with at
3 least one of the policy expressions, the first policy expression 116, the second
4 policy expression 118, etc., in the A input policy 108. The determination may
5 involve solving a relational equation such as expression (1) above. Other
6 exemplary methods for determining whether node B 104 can comply is discussed
7 below with respect to operations shown in Fig. 3.

8 [0037] Another implementation of the operating environment 100 includes a
9 third party service or tool that compares policies of two or more nodes to
10 determine whether they are compatible. Such a service or tool may operate on
11 node A 102, node B 104, or an intermediate node on the network 106. Thus, a
12 service may read B output policy 114 and read A input policy 108 and determine if
13 the policies are compatible. For example, the service may determine that the
14 policy expression 116 is compatible with the policy expression 128. The service
15 can notify node A 102 and node B 104 as to the results of the compatibility
16 determination.

17 [0038] Fig. 2 illustrates an exemplary policy 200 that may be used by a node
18 to dynamically construct a protocol to facilitate communication with one or more
19 other nodes. The exemplary policy 200 is in Extensible Markup Language (XML).
20 As such, the exemplary policy 200 includes a number of tags, starting with an open
21 bracket (<) and ending with a close bracket (>).

1 [0039] As discussed above, a policy includes one or more assertions that can
2 be grouped into one or more policy expressions. Grouping assertions can involve
3 applying a relationship operator to the group. A relationship operator specifies a
4 relationship between or among assertions in a group. Various other attributes,
5 assertion types, and operators can be applied to an assertion. The exemplary policy
6 200 illustrates just a few exemplary attributes, assertion types, and operators.
7 Other exemplary attributes, assertion types, and operators are discussed further
8 below.

9 [0040] The exemplary policy 200 includes two policy expressions bounded
10 by a <wsp:ExactlyOne> operator 202. A first policy expression 204 expresses a
11 security profile (i.e., <wsse:SecurityToken>) consisting of security specific
12 policy assertions. As shown in Fig. 2, the first policy expression 204 specifies
13 "Kerberos Authentication" (i.e., <wsse:TokenType>wsse:Kerberosv5TGT
14 </wsse:TokenType>) and "Privacy" (i.e., <wssx:Privacy />).

15 [0041] A second policy expression 206 specifies password authentication
16 (<wsse:TokenType>wsse:UsernameToken</wsse:TokenType>), an
17 integrity algorithm (i.e., <wsse:Algorithm Type="wsse:AlgEncryption"
18 URI="http://www.w3.org/2001/04/xmlenc#3des-cbc"/>), and an audit
19 trail (i.e., <wssx:Audit/>). The integrity algorithm specifies a particular
20 encryption algorithm along with a Uniform Resource Identifier (URI) indicating a
21 network location from which the encryption algorithm can be obtained.
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1 [0042] The <wsp:ExactlyOne> operator 202 bounding the first policy
2 expression 204 and the second policy expression 206 indicates that one and only
3 one of the groups of assertions can be selected by a node; i.e., the first policy
4 expression 204 and the second policy expression 206 are alternatives.

5 [0043] Bounding the first policy expression 204 is an "All" operator 208.
6 The All operator 208 indicates that all of the assertions in policy expression 204
7 must be practiced by a node if the policy expression 204 is selected. Similarly, the
8 second group 206 is bounded by another "All" operator 210, which indicates that
9 all of the assertions in the second policy expression 206 must be practiced if the
10 second policy expression 206 is selected.

12 [0044] Each assertion may be associated with a usage type or attribute. The
13 usage attribute stipulates how the assertion should be interpreted in relation to the
14 overall policy. To illustrate, a privacy assertion could, for example, specify that
15 privacy guarantees will be provided for information exchanged between two Web
16 services, while an encryption assertion could specify a requirement for encryption.
17 The privacy assertion and the encryption assertion differ, in that the privacy
18 assertion has no externally visible manifestation, while the encryption assertion is
19 externally manifested (i.e., the encryption assertion indicates a requirement on
20 messages being sent to and from the Web services). The privacy assertion is
21 simply a declaration that the Web services will guarantee some level of privacy to
22 the sender, while the encryption assertion requires cooperation between the two
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Web services. Because usage can differ between assertions, a usage attribute can be used to characterize the difference. Various exemplary usage attributes are discussed below.

[0045] Accordingly, within the All operator 208 tag, and the All operator 210 tag, usage attributes indicate that the bounded assertions are “required”. In an alternative implementation, each assertion tag bounded by the All operator 208, and the All operator 210, could individually specify the usage attribute.

[0046] Also in the All operator 208 tag, and the All operator 210 tag, preference values are shown that indicate a level of preference of the corresponding groups. In the exemplary policy 200, the preference value of the first group 204 is “100”, while the preference value for the second policy expression 206 is “1”, meaning that the first policy expression 204 is preferred over the second group 206.

[0047] To capture the nature of differences among various assertions, five exemplary usage attributes are used in one particular implementation of a policy: Required, Optional, Rejected, Observed and Ignored. These exemplary usage attributes are shown and described below in Table 1:

Table 1: Exemplary Usage Attributes

Attribute	Meaning
Required	The assertion must be applied to the subject. If the subject does not meet the criteria expressed in the assertion a fault or error will occur.
Rejected	The assertion is explicitly not supported and if present will cause failure.

Optional	The assertion may be made of the subject but it is not required to be applied.
Observed	The assertion will be applied to all subjects and requesters of the service are informed that the policy will be applied.
Ignored	The assertion is processed, but ignored. That is, it can be specified, but no action will be taken as a result of it being specified. Subjects and requesters are informed that the policy will be ignored.

[0048] With regard to Table 1, a policy subject is a node to which a policy can be bound. Other exemplary operators and containers, in addition to the “All” operator and the “ExactlyOne” operator, are shown and described below in Table 2:

Table 2: Exemplary Assertion Operators/Containers

Operator/Container	Meaning
Policy	A policy expression that is the top level container for the set of policy operators and assertions.
ExactlyOne	An ExactlyOne operator may contain one or more policy assertions, references, or operators. The ExactlyOne operator requires that exactly one of the bounded operands be satisfied.
All	The All operator may contain one or more policy assertions, references, or operators. The All operator requires that every one of the bounded operands be satisfied.
OneOrMore	The OneOrMore operator may contain one or more policy assertions, references, or operators. The OneOrMore operator requires that at least one of the bounded operands be satisfied.

[0049] The exemplary attributes, operators, and containers described in Table 1 and Table 2 are in no way intended to limit a particular policy implementation to the attributes, operators, and containers shown. Those skilled in

1 the art may readily recognize and develop other attributes, operators, and
2 containers that are useful in a particular implementation, which are within the
3 scope of the present application.

4 [0050] Some examples of assertions that may be made related to protocols
5 are Simple Object Access Protocol (SOAP) 1.1, SOAP 1.0, HyperText Transport
6 Protocol (HTTP) 1.1, HTTP over Secure Sockets Layer (SSL) (HTTPS), Pipelined
7 HTTP (PHTTP), TCP/IP, FTP, just to name a few.

8 [0051] It will be appreciated that by using a policy, such as policy 200, a
9 node can specify capabilities, requirements, the number of messages and their
10 form, security measures, reliable messaging, transactions, routing, and other
11 parameters relevant to a message exchange. In addition, policies are extensible,
12 whereby a policy can be extended to include, for example, newly available policy
13 expressions.
14

15 [0052] Policies are composable, which means that policy expressions having
16 one or more assertions can be inserted into or removed from a policy. Thus, for
17 example, the SOAP header model and Web Services Specifications (WS-specs)
18 outline a composable model, thereby making SOAP headers and WS-specs suitable
19 technologies for implementing a policy scheme outlined herein. In addition, the
20 policy schemes described herein enable nodes to specify a flexible set of protocols
21 at runtime using elements from web services, such as those described by WS-
22 specs.
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Exemplary Operations in a Single Node to Single Node Message Exchange

[0053] Described herein are exemplary methods for implementing dynamic protocol instruction in a network environment. The methods described herein may be embodied as logic instructions on one or more computer-readable medium. When executed on a processor, the logic instructions cause a general purpose computing device to be programmed as a special-purpose machine that implements the described methods. In the following exemplary operations, the components and connections depicted in the figures may be used to implement dynamic protocol construction in a network environment.

[0054] Fig. 3 illustrates a dynamic protocol construction operation flow or algorithm 300 that would be performed by an initiator of a message exchange. For example, a client accessing a server may execute the operations shown in the operation flow 300. As another example, a first peer attempting to contact a second peer in a peer-to-peer environment may execute the operations shown in Fig. 3 to establish a protocol for communication.

[0055] The exemplary operations shown and discussed with respect to the dynamic protocol construction operation flow 300 are with respect to a client/server environment, but it is to be understood that the operation flow 300 is generally applicable to any computing device that is initiating a message exchange. In the following description of the operation flow 300, a local policy refers to a

1 policy related to the client and a remote service policy refers to a policy related to a
2 service executing at the server.

3 [0056] In a fetching operation 302, the client fetches the remote service
4 policy characterizing capabilities and/or requirements of the server. The fetching
5 operation 302 generally involves retrieving the remote service policy and may
6 include caching the retrieved service policy at the client for later use. In one
7 implementation of the fetching operation 302, the client sends a request to the
8 server requesting the remote service policy. The client may receive in response an
9 input service policy or an output service policy, or both.
10

11 [0057] Another implementation of the fetching operation 302 receives the
12 policy or policies incrementally from the server. For example, the client may
13 receive a first set of assertions from the server, followed by a second set, and so
14 on. The client may receive logically related groups of the policy assertions
15 incrementally.
16

17 [0058] In yet another implementation of the fetching operation 302 the
18 client does not fetch the remote service policy from the server related to the remote
19 service policy, but rather the client receives the remote service policy from an
20 advertising server. In this implementation, the remote server advertises the remote
21 server policy on the advertising server, from which the client can access the remote
22 service policy. The client may receive the remote service policy incrementally or
23 all at once.
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1 [0059] In yet another implementation of the fetching operation 302, the
2 client checks a cache memory on the client for a cached copy of the remote service
3 policy. If the client finds the remote service policy in the client cache, the client
4 may or may not request the remote service policy from the remote server. In this
5 implementation, the client may check the age of the cached remote service policy
6 (e.g. by comparing a date on the cached remote service policy to a predetermined
7 date) and if the age is greater than a target date, the client may request a new
8 remote service policy from the remote server.
9

10 [0060] The act of fetching policy may itself be subject to protocol
11 construction. This may involve an initial "bootstrap" protocol, which is agreed to
12 by endpoint nodes based on out of band mechanisms. All nodes that fetch policy
13 will need to agree to use some common protocol or protocols to exchange policy
14 documents. This is the "fetch policy" policy. For example, the nodes may agree to
15 the "fetch policy" policy defined in a paper specification, email each other the
16 "fetch policy" policy for each service, post the "fetch policy" policy on a website
17 for downloading, or advertise the "fetch policy" policy as part of the mechanism
18 used to advertise the service itself. As an example of the latter, when a service is
19 advertised in a Universal Description, Discovery and Integration (UDDI)
20 repository, the "fetch policy" policy for the service could be stored with the service
21 address and other capabilities.
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1 [0061] A creating operation 304 creates a local (i.e., client) policy. As
2 discussed above, the local policy can include a number of assertions related to
3 input and output capabilities and requirements of the client. As such, one
4 implementation of the creating operation 304 creates one or more policies based on
5 local hardware and software capabilities, and configuration decisions made by the
6 client implementer and administrator deploying the client. The creating operation
7 304 preferably creates a local input policy and a local output policy related to the
8 client.
9

10 [0062] A determining operation 306 determines whether the remote service
11 policy includes at least one set of assertions that are compatible with client
12 capabilities. In one implementation of the determining operation 306, the client
13 identifies one or more groups of assertions in the remote input service policy that
14 intersect with the local (i.e., client) output policy. An intersection between two
15 policies occurs when a group of assertions in the remote input service policy
16 matches or is a subset of a group of assertions in the local output policy.
17

18 [0063] A selecting operation 308 selects one group of assertions from the
19 groups of assertions identified in the determining operation 306, if more than one
20 group of compatible assertions was identified. The selecting operation 308 can
21 consider "preference" values in either the local policy or the remote service policy,
22 or both, to determine if one group of assertions is preferred over another group,
23 and select the preferred group.
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1 [0064] An implementation of the selecting operation 308 includes
2 configuring software to enable the software to send and receive messages that
3 conform to the selected policy. Configuring the software may involve calling
4 various software modules and/or accessing data stores to obtain security tokens or
5 other data related to the selected policy. The implementation-specific details
6 related to implementing a particular assertion are defined by the specification for
7 the assertion.

8 [0065] An applying operation 310 applies the selected assertions from the
9 selecting operation 308. In one implementation, the applying operation 310 sends
10 a request message to the server. The request message includes an underlying
11 message that the client is sending to the server. For example, if the client is
12 attempting to order books from the server, the request message is a book order
13 message, having service-recognizable syntax and semantics corresponding to a
14 book order.
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17 [0066] The applying operation 310 appends a header having the selected
18 remote service input policy assertions and the local input policy assertions to the
19 underlying message. By appending the remote service input policy assertions, the
20 client conveys to the remote server the protocols and data formats or other
21 properties that will be used by the client to communicate with the server. By
22 appending the local input policy assertions to the underlying message, the client
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1 conveys to the server the properties of the client by which the server can
2 communicate with the client.

3 [0067] A receiving operation 312 receives a response from the server. The
4 response from the server is a combination of the underlying response to the client's
5 previous underlying request message and a selected group of assertions from the
6 local input policy. The client is thereby notified about which of the client's
7 communication properties the server will be using to communicate with the client.

8 [0068] An enforcing operation 314 enforces the policy selected by the
9 server. An implementation of the enforcing operation 314 ensures that messages
10 received from the server conform to the input assertions that the server selected
11 previously. Thus, for example, if one of the selected input assertions requires a
12 particular type of encryption, the client will check to see that messages received
13 from the server are encrypted accordingly.
14

15 [0069] Fig. 4 illustrates another dynamic protocol construction operation
16 flow or algorithm 400, which is applicable to a server in a client/server
17 environment. As with the operation flow 300 discussed above, the dynamic
18 protocol construction operation flow 400 of Fig. 4 is not limited to a client/server
19 environment. Rather, the dynamic protocol construction operation flow 400 is
20 applicable to any environment in which a node is the recipient of a request to enter
21 into a message exchange.
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1 [0070] The dynamic protocol construction operation flow 400 is described
2 from the perspective of the server. As such, the local policy is the policy related to
3 a service executing at the server and the remote policy is the policy related to the
4 client.

5 [0071] An advertising operation 402 advertises the local policy of the
6 server. Advertising the local policy involves making the local policy known to at
7 least one other node, and in this particular case, the client. One implementation of
8 the advertising operation generates the local policy and transmits all of the local
9 policy to the client in response to a client request for the local policy.
10

11 [0072] Another implementation of the advertising operation 402 generates
12 the local policy and incrementally transmits the local policy to the client. In this
13 implementation, the server may receive a request from the client for each
14 incremental portion of the local policy, and responsively transmit the requested
15 portion.
16

17 [0073] Yet another implementation of the advertising operation 402
18 generates the local policy and stores the local policy on an advertising server, from
19 which the client can retrieve the local policy.

20 [0074] In yet another implementation of the advertising operation 402, a
21 copy of the local policy is delivered to a third party service that reads the local
22 policy and the client policy to determine if the two policies are compatible.
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1 [0075] A receiving operation 404 receives a message from the client. The
2 message includes an underlying message and a header indicating a group of
3 assertions from the local policy that the client will be using to communicate with
4 the server. The header also provides a remote input policy indicating the client's
5 capabilities and requirements related to receiving messages.

6 [0076] A determining operation 406 determines whether the message
7 received in the receiving operation 404 used a valid policy expression. The
8 determining operation 406 checks that the message conforms to the selected group
9 of assertions in the local policy. Thus, for example, the determining operation 406
10 may determine whether the message was encrypted according to an encryption
11 format specified in the local policy. If the message does not conform to the
12 selected group of assertions, then the operation 400 branches "NO" to a notifying
13 operation 408, in which the client is notified that the message does not conform to
14 a valid policy expression.
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17 [0077] If, on the other hand, the determining operation 406 does determine
18 that a valid policy expression was applied to the message, the operation 400
19 branches "YES" to a constructing operation 410. The constructing operation 410
20 constructs a receive channel that implements the selected policy expression.
21

22 [0078] A selecting operation 412 selects a policy expression from the
23 remote client's input policy. As indicated above, the selection of a policy
24 expression can be based on the service's capabilities or preferences specified in the
25

1 input policy and other factors. After the selecting operation 412 selects a policy
2 expression, a generating operation 414 generates a reply message to the client
3 based on the selected policy expression. The reply message typically includes an
4 underlying response message and an indication of the client input policy
5 expression that the service selected for communication with the client.
6

7 **Exemplary Multiple Node Environment and Operations**

8 [0079] The operations described above pertain to environments in which
9 one node is communicating with another node using dynamic protocol
10 construction. Often, in actual operation, messages from one node are routed
11 through other nodes before reaching the destination node. For example, in a
12 corporate environment, messages may be routed through a firewall, a main server,
13 and finally to a recipient's computer. Each node in the path may have policies
14 related to data protocols that are preferred, available, and/or required by the node.
15

16 [0080] Fig. 5 illustrates an exemplary multiple node communication
17 environment 500 including a source node 502 and a destination node 504. A
18 message exchange occurs between the source node 502 and the destination node
19 504, via two intermediate nodes, intermediate node X 506, and intermediate node
20 Y 508. Source node 502, destination node 504, intermediate node X 506, and
21 intermediate node Y 508 each have a policy. The policy at each node can include
22 one or more policies (e.g., input policy, output policy), as discussed above. In
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1 general, the source node 502 retrieves policies in order from closest node to
2 farthest node, and applies policies to a message in order from farthest node to
3 closest node, as is illustrated by an exemplary scenario below.

4 [0081] Source node 502 generates a message intended for the destination
5 node 504. As discussed above, source node 502 retrieves the policy of the
6 destination node 504, in order to select a policy expression, and apply the selected
7 policy expression to the message. However, in order to retrieve the policy of the
8 destination node 504, the source node 502 must go through intermediate node X
9 506 and intermediate node Y 508.
10

11 [0082] In the exemplary scenario described with respect to the environment
12 500, it is assumed that source node 502 initially has no information about (i.e., is
13 not aware of) the presence of intermediate node Y 508, but is aware of
14 intermediate node X 506. In order to retrieve the policy from destination node
15 504, the source node 502 first requests the policy from intermediate node 506. The
16 source node 502 selects a policy expression from the policy related to intermediate
17 node X 506 and applies the selected policy expression to a policy retrieval
18 message.
19

20 [0083] The policy retrieval message is a request for the policy from the
21 destination node 504. Included with the policy retrieval message is the policy
22 related to the source node 502. The intermediate node X 506 receives the policy
23 retrieval message, including the policy of the source node 502, and validates the
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1 message, as discussed above, by checking to see that a valid policy expression was
2 applied to the policy retrieval message. If the policy retrieval message is valid, the
3 intermediate node X 506 requests the policy from the destination node 504.

4 [0084] The intermediate node X 506 puts the policy of the destination node
5 504 into a message for the source node 502. This includes applying the policy of
6 the source node 502 to the message so that the message to the source node 502
7 conforms to the policy of the source node 502. The source node 502 receives and
8 validates the message and reads the policy of the destination node 504.

9 [0085] In this scenario, the policy from the destination node 504 specifies
10 another intermediate node Y 508 that should be included in the communication
11 path. A policy can include one or more intermediate nodes. If more than one
12 intermediate node is specified in a policy, the policy should also specify an order
13 of the intermediate nodes in the communication path. The order of intermediate
14 nodes is important for the order of retrieving and applying the policies of the
15 intermediate nodes. In this scenario, only one intermediate node, intermediate
16 node Y 508, is included in the policy from the destination node 504.

17 [0086] The source node 502 generates another policy retrieval message
18 including a request for the policy from intermediate node Y 508. As before, the
19 source node 502 applies the policy of the intermediate node X 506 to the policy
20 retrieval message. The intermediate node X 506 receives and validates the
21 message and requests the policy from the intermediate node Y 508. When the
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1 intermediate node X 506 receives the policy from the intermediate node Y 508, the
2 intermediate node X 506 creates a message including the policy from the
3 intermediate node Y 508. After applying source node's 502 policy to the message,
4 the intermediate node X 506 sends the message to the source node 502.

5 [0087] Upon receipt of the message from the intermediate node X 506, the
6 source node 502 has all the policies from the nodes in the communication path to
7 the destination node 504. The source node 502 reads the policies and selects
8 policy expressions from each one of the policies. The selected policy expressions
9 include the data protocols, formats, etc. that the source node 502 will apply to
10 messages sent to the destination node 504.
11

12 [0088] The selected policy expressions are applied to an underlying message
13 510 in order of farthest node to closest node, relative to the source node 502. The
14 underlying message 510 is the message that the source node 502 ultimately wants
15 delivered to the destination node 504. The underlying message 510 is any message
16 recognizable by the destination node 504, and may include application-specific
17 semantics or syntax. For example, the underlying message 510 may be a book
18 order.
19

20 [0089] In the exemplary scenario, first the policy expression from the policy
21 related to the destination node 504 is applied to the underlying message 510; i.e.,
22 the underlying message 510 is conformed in accordance with the policy of the
23 destination node 504 so that the message is policy-compliant. Next, the policy
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1 expression from the policy related to the intermediate node Y 508 is applied to the
2 message. Lastly, the policy expression from the policy related to the intermediate
3 node Y 506 is applied to the message. After all the policies are applied the
4 underlying message 510, the message is referred to as a policy-compliant message
5 512.

6 [0090] Thus, the policy-compliant message 512 that is sent from the source
7 node 502, may be viewed as a message with three levels of policy application. The
8 policy-compliant message 512 includes an inner level of policy application 514
9 that relates to the destination node 504 and will be received and validated last in
10 the message exchange. The policy-compliant message 512 includes a middle level
11 of policy application 516 related to the intermediate node Y 508 and will be
12 received and validated next-to-last in order. The policy-compliant message 512
13 includes an outer level of policy application 518 related to the intermediate node X
14 508 and will be received and validated first in the message exchange.
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17 [0091] As the policy-compliant message 512 passes through each node, the
18 outermost level of policy application is removed from the policy-compliant
19 message 512. Thus, intermediate node X 506 removes outer policy application
20 518, and intermediate node Y 508 removes middle policy application 516.
21 Intermediate node X 506 and intermediate node Y 508 forward the message on to
22 the next node in the path after removing and validating the associated policy
23 application. The message received by the destination node 504 is the underlying
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1 message 510 with the inner policy application 514. The destination node 504
2 receives the message 510 and validates the policy application 512 with respect to
3 valid policy expressions in the policy for the destination node 504.

4 [0092] Fig. 6 illustrates a dynamic protocol construction operation flow or
5 algorithm 600 for dynamically constructing protocols among multiple nodes. The
6 operation flow 600 can be executed by a source node, such as source node 502
7 (Fig. 5), to retrieve multiple policies and apply the multiple policies to a message
8 for transmittal to a destination node, such as destination node 504 (Fig. 5).

9 [0093] A sorting operation 602 sorts a list of nodes from closest node to
10 farthest node, relative to the source node. It is to be understood that the terms
11 “close” and “far” do not necessarily mean physically “close” or “far” from a node.
12 “Close” and “far” in this context pertain to how many nodes removed from another
13 node in a message communication. Thus, for example, the second node to receive
14 a message is farther from the original sending node than the first node to receive
15 the message is from the original sending node.
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18 [0094] A retrieving operation 604 retrieves a policy related to the first (i.e.,
19 next closest) node on the list of nodes. One implementation of the retrieving
20 operation 604 sends a request to the first node for the first node’s policy, in a
21 manner similar to that described above. Alternatively, the retrieving operation 604
22 may retrieve the policy from a local cache, or advertising server that stores the
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1 policy. The policy may be retrieved incrementally or all at once, as discussed
2 above.

3 [0095] After the policy is received from the first node, a selecting operation
4 606 selects a compatible policy expression from the retrieved policy. One
5 implementation of the selecting operation 606 compares the retrieved policy with a
6 policy at the source node to identify a matching policy expression.

7 [0096] A determining operation 608 determines whether the retrieved policy
8 specifies any additional intermediate node(s) in the communication path. The
9 determining operation 608 reads the retrieved policy and identifies any routing
10 assertions that may be specified in the retrieved policy.

11 [0097] If the determining operation 608 determines that additional
12 intermediate node(s) are specified, the operation flow 600 branches 'YES' to an
13 inserting operation 610. The inserting operation 610 inserts the additional
14 intermediate node(s) in the node list. Any additional intermediate nodes added to
15 the node list immediately proceeding the node whose policy added them. If there
16 is more than one node being added, then either their ordering is specified in the
17 policy or there is no ordering requirements and the node are added in an arbitrary
18 order. An added intermediate node may therefore become the 'next closest node'
19 during a subsequent execution of the retrieving operation 604.

20 [0098] After the additional intermediate node(s) are inserted on the node
21 list, another determining operation 612 determines whether anymore nodes are
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1 present in the node list for which a policy has not been retrieved. Likewise, if the
2 determining operation 608 determines that no additional intermediate node(s) are
3 specified in the retrieved policy, the operation flow 600 branches 'NO' to the
4 determining operation 612.

5 [0099] If the determining operation 612 determines that a policy remains to
6 be retrieved from a node on the node list, the operation 600 branches 'NO' to a
7 creating operation 614. The creating operation 614 creates a request for the policy
8 of the next closest node remaining on the node list. Creating the request involves
9 applying the selected policy expressions from the retrieved policies in an order
10 corresponding to the order of nodes in the message exchange. Specifically, the
11 selected policy expression of the farthest node (from which a policy has been
12 retrieved) is applied to the request first, then the selected policy expression of the
13 next farthest node, and so on.

14 [00100] The retrieving operation 604 then sends the created policy request to
15 the first node in the list. The first node in the list removes a policy level (related to
16 the first node) from the message and forwards the request message on to the next
17 node. The next node receives the policy request message and, if the request is for
18 the node's policy, that node sends back its policy. Otherwise, the request is
19 forwarded on to the next node.

20 [00101] The retrieving operation 604, the selecting operation 606, the
21 determining operation 608, the inserting operation 610, the determining operation
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612, and the creating operation 614 continue until the policy of each node in the multiple-node communication path is retrieved and compatible policy expressions are selected from each of the policies. Thus, a compatible policy expression is selected corresponding to each of the policies and each of the nodes. An exemplary implementation of the operations 602-614 is given below in pseudo code:

```
Message msgToBeSent;
// Form msgToBeSent

foreach (NodeForPolicy in
    msgToBeSent.GetNodeList(orderFromClosestToUltimateReceiver))

    Message msgToRetrievePolicy =
        FormPolicyRetrievalMessage(NodeForPolicy, msgToBeSent)

    Bool reachedNodeForPolicy = false

    foreach (NodeForApplication in
        msgToBeSent.GetNodeList(orderFromUltimateReceiverToClosest))
        if (!reachedNodeForPolicy)
            if (NodeForPolicy != NodeForApplication)
                continue
            reachedNodeForPolicy = true
            continue

        ApplyPolicy(NodeForApplication, msgToRetrievePolicy)

    StorePolicy(SendMessage(msgToRetrievePolicy))
```

[00102] The selected policy expressions associated with each node in the node sequence will be applied to the message in order of farthest to closest. A creating operation 616 creates a new message by applying the selected policy expression corresponding to the next farthest node (starting with the farthest node) on the node list to a message to be sent to the destination node. The first time the creating operation 616 executes, the first selected policy expression is applied to an underlying message; subsequent executions of the creating operation 616 apply

1 another selected policy expression to the previously created message. Thus, the
2 creating operation 616, when iteratively executed, generates a message with one or
3 more levels of policy applied to the message.

4 [00103] A determining operation 618 determines whether all the policies
5 corresponding to all the nodes in the node list have been applied. If not all the
6 policies have been applied, the operation 600 branches 'NO' to the creating
7 operation 616, which applies another level of policy corresponding to the next
8 node on the node list.

9
10 [00104] If all of the selected policy expressions have been applied, the
11 operation 600 branches 'YES' to a transmitting operation 620. The transmitting
12 operation 620 transmits the finally created message, having all levels of policy
13 applied. Each of the levels of policy is removed upon receipt by the node
14 corresponding to that level of policy, and the message is sent on to the next node in
15 the communication path, until the message reaches the destination node.
16

17 **Exemplary Computing Device**

18
19 [00105] Fig. 7 is a schematic illustration of an exemplary computing device
20 700 that can be utilized to implement a host. Computing device 700 includes one
21 or more processors or processing units 732, a system memory 734, and a bus 736
22 that couples various system components including the system memory 734 to
23 processors 732. The bus 736 represents one or more of any of several types of bus
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1 structures, including a memory bus or memory controller, a peripheral bus, an
2 accelerated graphics port, and a processor or local bus using any of a variety of bus
3 architectures. The system memory 734 includes read only memory (ROM) 738 and
4 random access memory (RAM) 740. A basic input/output system (BIOS) 742,
5 containing the basic routines that help to transfer information between elements
6 within computing device 700, such as during start-up, is stored in ROM 738.

7 [00106] Computing device 700 further includes a hard disk drive 744 for
8 reading from and writing to a hard disk (not shown), and may include a magnetic
9 disk drive 746 for reading from and writing to a removable magnetic disk 748, and
10 an optical disk drive 750 for reading from or writing to a removable optical disk
11 752 such as a CD ROM or other optical media. The hard disk drive 744, magnetic
12 disk drive 746, and optical disk drive 750 are connected to the bus 736 by
13 appropriate interfaces 754a, 754b, and 754c. The drives and their associated
14 computer-readable media provide nonvolatile storage of computer-readable
15 instructions, data structures, program modules and other data for computing device
16 700. Although the exemplary environment described herein employs a hard disk, a
17 removable magnetic disk 748 and a removable optical disk 752, other types of
18 computer-readable media such as magnetic cassettes, flash memory cards, digital
19 video disks, random access memories (RAMs), read only memories (ROMs), and
20 the like, may also be used in the exemplary operating environment.
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1 [00107] A number of program modules may be stored on the hard disk 744,
2 magnetic disk 748, optical disk 752, ROM 738, or RAM 740, including an
3 operating system 758, one or more application programs 760, other program
4 modules 762, and program data 764. A user may enter commands and information
5 into computing device 700 through input devices such as a keyboard 766 and a
6 pointing device 768. Other input devices (not shown) may include a microphone,
7 joystick, game pad, satellite dish, scanner, or the like. These and other input
8 devices are connected to the processing unit 732 through an interface 756 that is
9 coupled to the bus 736. A monitor 772 or other type of display device is also
10 connected to the bus 736 via an interface, such as a video adapter 774.
11

12 [00108] Generally, the data processors of computing device 700 are
13 programmed by means of instructions stored at different times in the various
14 computer-readable storage media of the computer. Programs and operating systems
15 may be distributed, for example, on floppy disks, CD-ROMs, or electronically, and
16 are installed or loaded into the secondary memory of the computing device 700. At
17 execution, the programs are loaded at least partially into the computing device's
18 700 primary electronic memory.
19

20 [00109] Computing device 700 may operate in a networked environment
21 using logical connections to one or more remote computers, such as a remote
22 computer 776. The remote computer 776 may be a personal computer, a server, a
23 router, a network PC, a peer device or other common network node, and typically
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25

1 includes many or all of the elements described above relative to computing device
2 700. The logical connections depicted in Fig. 7 include a LAN 780 and a WAN
3 782. The logical connections may be wired, wireless, or any combination thereof.

4 [00110] The WAN 782 can include a number of networks and subnetworks
5 through which data can be routed from the computing device 700 and the remote
6 computer 776, and vice versa. The WAN 782 can include any number of nodes
7 (e.g., DNS servers, routers, etc.) by which messages are directed to the proper
8 destination node.

9 [00111] When used in a LAN networking environment, computing device
10 700 is connected to the local network 780 through a network interface or adapter
11 784. When used in a WAN networking environment, computing device 700
12 typically includes a modem 786 or other means for establishing communications
13 over the wide area network 782, such as the Internet. The modem 786, which may
14 be internal or external, is connected to the bus 736 via a serial port interface 756.
15

16 [00112] In a networked environment, program modules depicted relative to
17 the computing device 700, or portions thereof, may be stored in the remote
18 memory storage device. It will be appreciated that the network connections shown
19 are exemplary and other means of establishing a communications link between the
20 computers may be used.
21

22 [00113] The computing device 700 may be implemented as a server computer
23 that is dedicated to server applications or that also runs other applications.
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25

1 Alternatively, the computing device 700 may be embodied in, by way of
2 illustration, a stand-alone personal desktop or laptop computer (PCs), workstation,
3 personal digital assistant (PDA), or electronic appliance, to name only a few.

4 [00114] Various modules and techniques may be described herein in the
5 general context of computer-executable instructions, such as program modules,
6 executed by one or more computers or other devices. Generally, program modules
7 include routines, programs, objects, components, data structures, etc. that perform
8 particular tasks or implement particular abstract data types. Typically, the
9 functionality of the program modules may be combined or distributed as desired in
10 various embodiments.
11

12 [00115] An implementation of these modules and techniques may be stored
13 on or transmitted across some form of computer-readable media. Computer-
14 readable media can be any available media that can be accessed by a computer. By
15 way of example, and not limitation, computer-readable media may comprise
16 “computer storage media” and “communications media.”
17

18 [00116] “Computer storage media” includes volatile and non-volatile,
19 removable and non-removable media implemented in any method or technology
20 for storage of information such as computer-readable instructions, data structures,
21 program modules, or other data. Computer storage media includes, but is not
22 limited to, RAM, ROM, EEPROM, flash memory or other memory technology,
23 CD-ROM, digital versatile disks (DVD) or other optical storage, magnetic
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1 cassettes, magnetic tape, magnetic disk storage or other magnetic storage devices,
2 or any other medium which can be used to store the desired information and which
3 can be accessed by a computer.

4 [00117] "Communication media" typically embodies computer-readable
5 instructions, data structures, program modules, or other data in a modulated data
6 signal, such as carrier wave or other transport mechanism. Communication media
7 also includes any information delivery media. The term "modulated data signal"
8 means a signal that has one or more of its characteristics set or changed in such a
9 manner as to encode information in the signal. By way of example, and not
10 limitation, communication media includes wired media such as a wired network or
11 direct-wired connection, and wireless media such as acoustic, RF, infrared, and
12 other wireless media. Combinations of any of the above are also included within
13 the scope of computer-readable media.
14

15 [00118] In addition to the specific implementations explicitly set forth
16 herein, other aspects and implementations will be apparent to those skilled in the
17 art from consideration of the specification disclosed herein. It is intended that the
18 specification and illustrated implementations be considered as examples only, with
19 a true scope and spirit of the following claims.
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